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Electronic Filing System (EFS) Data  
Electronic Patent Application Submission  
USPTO Use Only

EFS ID: 58631  
Application ID: 09866500  
Title of Invention: METHODS AND SYSTEMS FOR  
MANAGING A PORTFOLIO OF  
SECURITIES  
First Named Inventor: Shayne Young  
Domestic/Foreign Application: Domestic Application  
Filing Date: 2001-05-25  
Effective Receipt Date: 2004-04-07  
Submission Type: Information Disclosure  
Statement  
Filing Type:  
Confirmation number: 4454  
Attorney Docket Number: 5226-01500



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APR 13 2004

**GROUP 3600**




Total Fees Authorized:

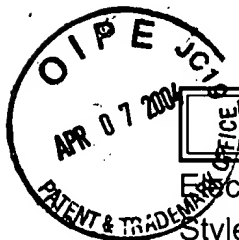
Digital Certificate Holder: cn=Eric B. Meyertons,ou=Registered Attorneys,ou=Patent and Trademark  
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Certificate Message Digest: 0aef2529374ee96858f9397dfc3fa25bae1bad85



TRANSMITTAL

Electronic Version v1.1  
Stylesheet Version v1.1.0

Title of Invention	METHODS AND SYSTEMS FOR MANAGING A PORTFOLIO OF SECURITIES																		
<table border="0"><tr><td>Application Number:</td><td>09/866500</td><td></td><td rowspan="4"><b>RECEIVED</b> APR 18 2004 <b>GROUP 3600</b></td></tr><tr><td>Date:</td><td>2001-05-25</td><td></td></tr><tr><td>First Named Applicant:</td><td>Shayne Young</td><td></td></tr><tr><td>Confirmation Number:</td><td>4454</td><td></td></tr><tr><td colspan="2">Attorney Docket Number:</td><td>5226-01500</td><td></td></tr></table>			Application Number:	09/866500		<b>RECEIVED</b> APR 18 2004 <b>GROUP 3600</b>	Date:	2001-05-25		First Named Applicant:	Shayne Young		Confirmation Number:	4454		Attorney Docket Number:		5226-01500	
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<p>I hereby certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.</p> <p>I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.</p> <table border="1"><thead><tr><th>Submitted by:</th><th>Elec. Sign.</th><th>Sign. Capacity</th></tr></thead><tbody><tr><td>Eric B Meyertons Registered Number: 34876</td><td>Eric B Meyertons</td><td>Attorney</td></tr></tbody></table>				Submitted by:	Elec. Sign.	Sign. Capacity	Eric B Meyertons Registered Number: 34876	Eric B Meyertons	Attorney										
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Documents being submitted us-ids		Files 5226-Feb2004-usidst.xml us-ids.dtd us-ids.xsl																	
Comments																			



# ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18  
Stylesheet Version v18.0

Title of  
Invention

METHODS AND SYSTEMS FOR MANAGING A  
PORTFOLIO OF SECURITIES

Application Number: 09/866500  
Confirmation Number: 4454  
First Named Applicant: Shayne Young  
Attorney Docket Number: 5226-01500  
Art Unit: 2164  
Examiner: Unknown Unknown  
Search string: ( 5809483 or 5946666 or 6401105 or 6408282  
or 6510419 or 20020188548 or 20020194111 or  
20020194110 or 20030065598 or 20030083974  
or 20030041006 ).pn.



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**GROUP 3600**

## US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
	1	5809483	1998-09-15	Broka et al.			
	2	5946666	1999-08-31	Nevo et al.			
	3	6401105	2002-06-04	Carlin et al.			
	4	6408282	2002-06-18	Buist			
	5	6510419	2002-01-21	Gatto			

## US Published Applications

Note: Applicant is not required to submit a paper copy of cited US Published Applications

init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
	1	20020188548	2002-09-15	Bunda	A1		
	2	20020194111	2002-12-19	Young	A1		
	3	20020194110	2002-12-19	Young	A1		
	4	20030065598	2003-04-03	Bunda	A1		
	5	20030083974	2003-05-01	Bunda	A1		

	6	20030041006	2003-02-27	Bunda	A1
Signature					
Examiner Name			Date		